

## PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with a checkable fee(s), to: Mail

Mail Stop, ISSUE I  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 or Fax (703) 746-4000

\$

OCT 03 2005

INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

27383 7590 06/30/2005

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

CLIFFORD CHANCE US LLP  
 31 WEST 52ND STREET  
 NEW YORK, NY 10019-6131

10/05/2005 EAYALEW2 00000064 031240 09680771

01 FC:1501 1400.00 DA  
 02 FC:8001 15.00 DA

## Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (703) 746-4000, on the date indicated below.

Walter G. Hanchuk

(Depositor's name)

(Signature)

(Date)

September 30, 2005

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/680,771	10/06/2000	Andrew F. Silverman	3499-86	3225

TITLE OF INVENTION: ORDER CENTRIC TRACKING SYSTEM AND PROTOCOL FOR COMMUNICATIONS WITH HANDHELD TRADING UNITS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1400	\$0	\$1400	09/30/2005

EXAMINER	ART UNIT	CLASS-SUBCLASS
PATEL, JAGDISH	3624	705-037000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.  
☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,  
 (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

Chadbourne &amp; Parke

2

3

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Goldman Sachs &amp; Co.

New York, NY 10004

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are enclosed:

- ☒ Issue Fee  
☐ Publication Fee (No small entity discount permitted)  
☒ Advance Order - # of Copies 5

4b. Payment of Fee(s):

- ☐ A check in the amount of the fee(s) is enclosed.  
☐ Payment by credit card. Form PTO-2038 is attached.  
☒ The Director is hereby authorized by charge the required fee(s), or credit any overpayment, to Deposit Account Number 03-1240 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

The Director of the USPTO is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid issue fee to the application identified above. NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature

Date September 30, 2005

Typed or printed name

Walter G. Hanchuk

Registration No. 35,179

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



Docket No. 17209-009

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Andrew F. Silverman et al.

Group Art Unit: 3624

Serial No.: 09/680,771

Examiner: J. Patel

Filed: October 6, 2000

For: Order Centric Tracking System and Protocol For Communications With Handheld Trading Units

**CERTIFICATE OF MAILING (37 C.F.R. §1.8(A))**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I hereby certify that the attached:

1. Issue Fee Transmittal Letter
2. Form PTOL-85
3. Return post card

along with any paper(s) referred to as being attached or enclosed and this Certificate of Mailing are being deposited with the United States Postal Service on date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,  
Chadbourne & Parke, L.L.P.

Dated: September 30, 2005

By: \_\_\_\_\_

Walter G. Hanchuk  
Registration No. 35,179

Chadbourne & Parke, L.L.P.  
30 Rockefeller Plaza  
New York, NY 10112  
212-408-5100 Telephone  
212-541-5369 Facsimile

54205

↑CUSTOMER NUMBER↑

Serial No.: 09/680,771

Docket No.: 17209-009



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Andrew F. Silverman et al.

Group Art Unit: 3624

Serial No.: 09/680,771

Examiner: J. Patel

Filed: October 6, 2000

For: Order Centric Tracking System and Protocol For Communications With Handheld Trading Units

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**ISSUE FEE TRANSMITTAL LETTER**

Sir:

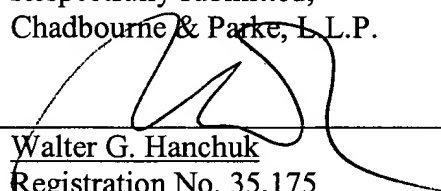
In response to the Notice of Allowability mailed June 30, 2005, submitted herewith is the Issue Fee Transmittal Form to cover the Issue Fee Due and an advance order of 5 copies of the patent (\$1415).

The Commissioner is hereby authorized to charge the fees which may be required, or credit any over payment, to Deposit Account No. 03-1240, Order No. 17209-009.

Respectfully submitted,  
Chadbourne & Parke, L.L.P.

Dated: September 30, 2005

By:

  
Walter G. Hanchuk  
Registration No. 35,175

Chadbourne & Parke, L.L.P.  
30 Rockefeller Plaza  
New York, NY 10112  
212-408-5100 Telephone  
212-541-5369 Facsimile